County of San Luis Obispo IT Governance

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                    │ Executive Steering  │
                    │     Committee       │
                    │       (ESC)         │
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    ┌─────────────────────┐          ┌─────────────────────┐
    │  County Standards   │          │   Communities of    │
    │     Committee       │          │      Interest       │
    │       (CSC)         │          │       (COI)         │
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IT-ESC Charter

Last Updated: January 31, 2014 *Charter*

1.0 *Information Technology (IT) governance:*

IT governance is a set of rules and criterion that form a process to guide how individuals and groups in the County cooperate to manage technology. The Executive Steering Committee (ESC), the County Standards Committee (CSC), Communities of Interest (COI), and the Chief Information Officer (CIO) form the components of County IT governance.

2.0 *San Luis Obispo County Vision:*

A safe, healthy, livable, prosperous, and well-governed community.

3.0 *Executive Steering Committee Purpose Statement:*

The ESC provides cooperation, collaboration, and consensus-driven IT advice to both GSA-Information Technology (GSA-IT), and the County as a whole.

4.0 *Goals of the Executive Steering Committee:*

- Align central IT services and resources with County business needs.

- Recommend the demarcation of centralized and decentralized IT services.

- Develop an annual IT Investment Plan that identifies the priorities, IT resource requirements, and estimated funding levels for new IT projects targeted for ITD to undertake.

- Utilize the advice of a County Standards Committee (CSC) to evaluate and recommend enterprise IT architecture, and County IT standards as a method to manage the total cost of ownership (TCO) component of IT investments.

- Provide a forum for stakeholders with a common set of business automation issues or opportunities, to participate in the IT governance process through the formation of Communities of Interest (COI) to serve as ad-hoc sub-committees to the Executive Steering committee.

5.0   Guiding Principles – "The County Good":

The Executive Steering Committee will approach decisions in the context of the entire County. Committee members will expect:

- Honesty

- Timely, open and respectful communication among all stakeholders

- Informed decisions that acknowledge unique departmental needs, but consider what is best for the entire County (The "County good").

6.0   Executive Steering Committee Participants:

The Executive Steering Committee is composed of thirteen (13) County managers. Ten (10) will be permanent members, and to assure that all stakeholders have an opportunity for direct representation, three (3) members will be appointed or elected to serve on a rotating basis. Permanent members will collectively represent those organizations that utilize the majority of services provided by GSA-IT. The County Administrative Officer (CAO) is a member and serves as committee chair. The General Services Agency Director and the Deputy Director Information Technology provides linkage between this group of business managers and the community of information technology experts throughout the County.

The composition of the Executive Steering Committee membership is as follows:

1. County Administrative Officer, and ESC Chair
2. General Services Agency Director , and ESC Vice-Chair
3. Auditor-Controller-Treasurer-Tax Collector-Public Administrator
4. County Assessor
5. Clerk-Recorder
6. District Attorney
7. Director, Health Agency

8. Director, Planning & Building

9. Director, Social Services

10. Sheriff-Coroner

11. Director - TBD (Rotating member, elect or appoint for a one year term)

12. Director - TBD (Rotating member, elect or appoint for a one year term)

13. Director - TBD (Rotating member, elect or appoint for a one year term)

7.0   Voting Process:

The following voting rules will apply:

- All members will have one vote.

- Members may designate an alternate who can attend and vote on their behalf.

- Voting will be by simple majority of those members present during an ESC meeting.

- The County Administrative Officer will vote *only* if it is necessary to break a tie.

- A quorum (50% of members + 1) must be present to conduct a valid vote.

8.0   Scope Definition:

A. The Executive Steering Committee will evaluate IT investment opportunities from a County-wide perspective for fit within an overall strategic business strategy and mission of the County, and make IT investment recommendations to the CAO/CIO. Executive Steering Committee IT investment deliverables are:

- An annual IT Investment Plan submitted each November to the CAO/CIO that:

  o Identifies the priority, IT resource requirements, and estimated funding levels of new IT initiatives to be undertaken by the Information Technology Department.

  o Lists those IT initiatives that the ESC recommends be undertaken by decentralized IT organizations.

  o Forms the basis for budgeting and allocation of Information Technology Department resources for the following fiscal year.

- Out-of-budget cycle IT investment recommendations to address opportunities that arise between budgets and are judged to be important enough to deserve immediate action.

- IT investment planning is ongoing throughout the year and the IT-ESC prefers staff submit project concepts as they are developed. For consideration in the annual prioritization, all project concepts must be submitted prior to the September IT-ESC meeting. Prioritization will begin in October and conclude in November. The resulting document will be an update to the Information Technology Strategic Plan (ITSP).

B. The ESC will evaluate and make IT investment recommendations for new IT initiatives that cost more than $50,000 (including ITD labor) or impacts more than one department.

C. The ESC also performs the following governance advisory activities and roles:

- Oversee the formation and governance activities of the County Standards Committee (CSC).

- Form or endorse the formation of subcommittees such as Communities of Interest (COI) to address specific business needs and/or technical issues that span multiple organizations.

- Evaluate and if judged worthy, endorse recommendations of County Standards Committee, and Communities of Interest (COIs).

- Monitor major IT project activity County-wide and advise the CIO and CAO as needed.

- Review and revise IT investment evaluation criteria for use County-wide in the development of requests for new IT initiatives that will come before the ESC.

- Provide resolution of escalated issues.

9.0   New IT Investment Evaluation Criteria:

The Executive Steering Committee requires that the following minimum information be included on all new IT initiatives presented to the committee for evaluation and endorsement in the form of **Project Concept** and **Executive Summary** documents which are developed by the requesting departments in coordination with ITD's Customer Advocate.

Project Concept -- Designed to assist departments in articulating and evaluating key aspects of proposed projects, provide a basis for communication, understanding and agreement among decision makers and allows for evaluation of a project to ensure that it is realistic, a good investment, likely to improve operations and consistent with County strategy and benefits the County. This document shall include:

- Sponsor(s)

- Stakeholders

- Background

- Problem Definition

- Desired State

- Project Statement

- Project Objectives

- Expected Benefits and Results

- Facts

- Assumptions

- Anticipated Funding Source and Budget Limit

- Departments or Agencies Impacted

Executive Summary – Designed to assist IT-ESC in the priority setting and weighting evaluation process. This document shall include:

- A brief summary of the project

- Financial worth and results

- Human Resource Allocation

- Projects Affected

- Risk Assessment

- Strategic Alignment

Business Case – Designed to provide IT-ESC with additional information as needed based upon the scope of a particular project. ITD will coordinate business case development with departments as required for IT-ESC to assign priority.

Presentation to IT-ESC -- Once the Project Concept, Executive Summary, and/or the Business Case are completed a presentation must be made to IT-ESC. The following checklist should be used prior to making the request to present to IT-ESC:

- Department Head fully supports Project Concept.

- Project Concept, Executive Summary and/or Business Case are complete.

- Project sponsors and stakeholders have been contacted and support the Project Concept.

- Department Head of Project Concept Sponsor requests CIO add presentation to IT-ESC agenda.

● Presentations to IT-ESC should be limited to a maximum of 15 minutes to allow for discussion time.

10.0 *Recommendations to the CAO/GSA Director:*

In formulating strategic direction and providing IT investment recommendations to the CAO/GSA Director including the annual IT investment plan, the ESC will answer the following questions:

- Does the proposal support the County mission and meet the "County good" criteria?

- Should the Information Technology Department undertake the proposed project, or should it be the sole responsibility of the sponsoring organization?

- What weight does the project carry comparatively based upon legal mandates (10), funded (8), software no longer supported (5), and County-wide benefit (4). Numbers in parentheses indicate the weighting factor.

- What is the priority ranking for the new IT initiative relative to other projects in the central IT organizational queue that are not already underway? Projects with a Business Case already developed and those previously identified in the ITSP will be given priority.

- Does a complete business case need to be developed based upon the scope of the project in order for IT-ESC to prioritize the project?

- What will be the recommended source of funds for the new IT project? The recommendation should cover both one-time and sustained expenditures for all project resources (equipment/staff/contractor). When new IT initiatives are targeted to be undertaken by the Information Technology Department, the ESC will consider and recommend one or more of the following funding options:

    o Use existing ITD resources.

    o Retire or eliminate existing infrastructure components and use the cost savings to fund the sustaining requirements of the new IT initiative/system.

    o Provide additional funding to cover both one-time and sustained expenditures. As required, subcommittees may be formed to explore additional funding approaches. At a minimum, these subcommittees will consist of the Administrative Office, ITD, and the project sponsors.

11.0 *ESC Procedures:*

A. Communications:

- All meetings will have agendas provided, and meeting minutes will be published.

- The committee will develop standard documentation formats (templates and forms) to standardize and streamline communication and utilize electronic media to facilitate such communication among members of the IT governance community.

B. Meetings:

- The Executive Steering Committee will meet at least once per fiscal quarter.   Additional meetings will be scheduled as needed to conduct the business of IT governance.

- Meetings agendas will be published prior to and, will be used to manage the meeting time effectively.

- The status of on-going IT governance activity and projects will be published on a quarterly basis so IT Governance stakeholders can stay informed and therefore, encourage ESC meeting agendas to focus on issue resolution and decision making rather than status reporting.

- The focus of meetings will be to discuss the major agenda item(s), make decisions, and endorse recommendations related to scheduled agenda items.

- To ensure there is complete understanding of projects evaluated, the CIO will conduct meetings with stakeholders and IT-ESC members in small groups prior to the monthly IT-ESC meeting as needed.
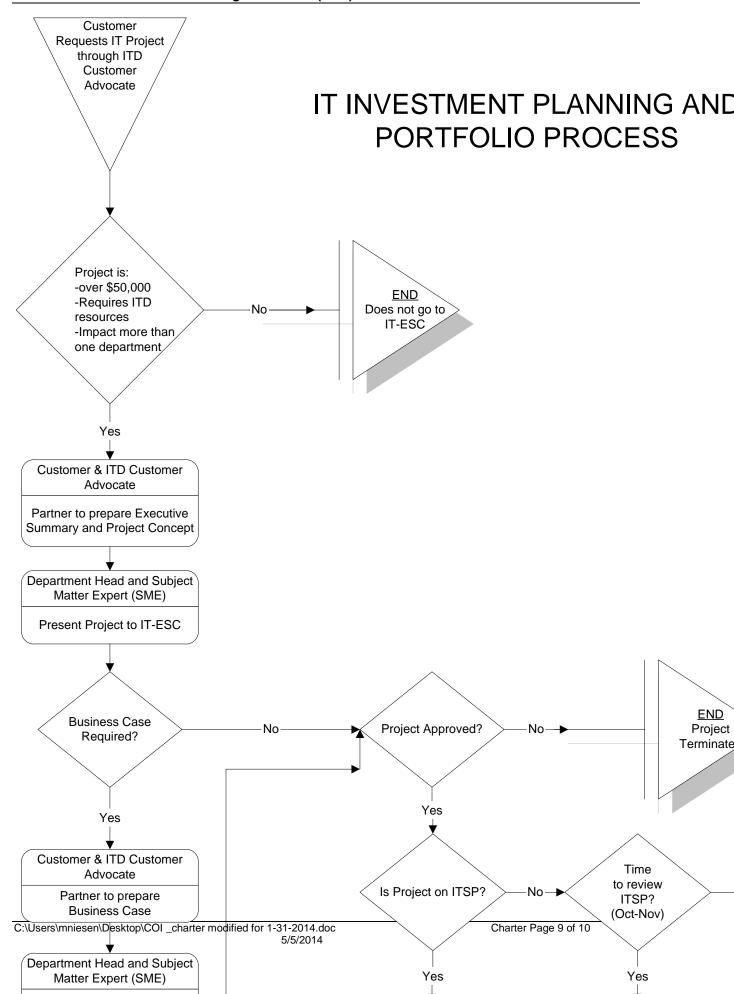
C. Roles and Responsibilities:

- The CAO will act as committee Chair and facilitate meetings.

- The GSA Director will coordinate schedule meetings, publish agendas, record and publish meeting minutes and facilitate communications among all IT governance stakeholders.

- The GSA Director will serve as Vice Chair to take over if the Chairperson is absent and serve as a timekeeper if needed.

- The GSA Director will maintain and publish at minimum quarterly reports regarding the status of on-going IT governance activity including major projects to the IT governance community.

D. Election of Rotating Members:

- Elections will be conducted by the CAO annually in June

- Rotating members can be elected to multiple terms (no term limits)

- Rotating members will begin their IT-ESC membership effective July 1st.

12.0   *IT Governance Model – Workflow for Evaluating New IT Initiatives:*

Departments and Communities of Interest will partner with ITD to formalize new IT project proposals and submit these initiatives to the Executive Steering Committee for evaluation as depicted in the following model:

Customer
Requests IT Project
through ITD
Customer
Advocate

IT INVESTMENT PLANNING AND
PORTFOLIO PROCESS

Project is:
-over $50,000
-Requires ITD
resources
-Impact more than
one department

No ───▶

<u>END</u>
Does not go to
IT-ESC

Yes

Customer & ITD Customer
Advocate

Partner to prepare Executive
Summary and Project Concept

Department Head and Subject
Matter Expert (SME)

Present Project to IT-ESC

Business Case
Required?

No

Project Approved?

No

<u>END</u>
Project
Terminate

Yes

Yes

Customer & ITD Customer
Advocate

Partner to prepare
Business Case

Is Project on ITSP?

No▶

Time
to review
ITSP?
(Oct-Nov)

Department Head and Subject
Matter Expert (SME)

Yes

Yes